

EXTERNAL AUDIT AND NON CONFORMANCE

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ABSTRACT

This paper gives details of Internal Quality Audit and External Quality Audit of ISO9001 standard which help to achieve the Quality Management System (QMS). For ISO certification most of the organization /Institution should go for ISO implementation. Quality audits are the basic process of ISO done by the internal or external quality auditors or by the audit team. Quality Audits should be performed at regular time intervals and ensure that the institution has clearly done the external audit systems monitoring ISO procedures with effective action. This will enable the institution to grow faster with minimizing the errors and failures of ISO procedure executions. This paper explains about procedures of IQA and EQA and non-conformance report, which help for the better improvement. This brings higher customer satisfaction that intern brings new customers.

Keywords: NCR - Non-Conformance Report QMS Quality Management System; ISO International Organization for Standardization & EQA External Quality Audit

Received: Jan 29, 2017; **Accepted:** Mar 04, 2017; **Published:** Mar 22, 2017; **Paper Id.:** IJLSRAPR20175

INTRODUCTION

International Organization for Standardization (ISO) is an international standard setting body composed of various national standard organizations. It is a non-governmental organization providing standards in eight clauses. It has two types of quality audit systems. One is internal Quality Audit and other is External Quality Audit. Internal quality audits are conducted by the internal persons who have undergone the audit training program as per ISO. The members of the same organization conduct the internal audit at regular intervals to check the procedures, which are followed by the organization. The effectiveness of the ISO implementation should be checked at regular intervals by regular internal quality audits. It is conducted to verify that the installed quality management systems includes confirm of the quality procedures, checking its effectiveness in each and every step in every department

External auditors are those who have completed the training program of ISO for it. They come from other organizations to conduct audit in sampling method. Two of three members come and do it as per the procedure with open meeting and end meeting. Finally this ensures the certification of ISO, which bring laurels to the institution or organization

DEFINITION OF AUDIT

Auditing is the onsite verification activity of the present processes and quality system. This produces non conformation report. This audit can be applied to the entire organization or the in particular department. There are three different types of audit, system audit, process audit and product audit. Internal audits are conducted by the employees of the organization so it is called as first party audit. External audits are conducted by an outside agent

so it may be called it as second party or third party audit.

TYPES OF AUDIT

System Audit

The system of an organization should undergo the process of audit. It is based on the documented procedures. The main objective of the organization and from top to bottom of the organization

Process Audit

All the processes of the institution are verified, it evaluates the methods of performance, standards and produce conformance. If the auditor has not been satisfied then non conformance report has been generated.

Product Audit

It is testing a particular product or service as per the standards and procedures of ISO, until it achieves the customer satisfaction.

STEPS IN AUDIT

- Preparation of audit
- Performance of audit
- Reporting of audit
- Follow up action to get the certification

EXTERNAL QUALITY AUDIT

Quality Audit is the process of systematic examination and checking of the quality system carried out by internal or external quality auditors. It is very important for any organization or institutions which follow the QMS like ISO 9001. It has to conduct Internal Quality Audit to verify that the installed quality management systems include confirmation of the quality procedures, checking its effectiveness at each and every step in every department. Few staff members are given proper internal quality audit training to do it. The management reviews are conducted to ensure the continuing suitability, adequacy and effectiveness of the quality management system. Three internal audits should be conducted then only the organization is allowed to go for external audit.

Second party audit is an external audit conducted on the organization by the customer. These audits subject to the rules of contract law as they are providing directions from the customer to the supplier. It is more formal than the first party audits. This will influence the customers purchasing decisions and customer satisfaction.

PROCESS OF AUDIT

An internal audit has been conducted for three times and the non conformance report has to be corrected by the follow-up action of the each and every department of the organization.

Planning should be done with most care for the external audit. A plan should identify the audit objectives, its coverage, which person will do the audit, the audit schedule and report on the deviations of the existing procedure of the control documentation manual. Opening meeting of the audit is conducted covering all the responsible persons from the

organization and the external audit team.

Data gathering is a major part of the audit activity. The auditors commonly obtain data or information through observation, interviews and study of documents. All the data obtained is documented.

Any deviation or non-conformity of the ISO standards is entered into the audit report. Before the audit report is finalized the team should conduct the closing meeting of the audit to enable the senior management to be known about the findings.

The audit report should accurately reflect the observation of the non- conformities in the non conformance format.

Follow up and Corrective Action: It is the responsibility of the organization to take the follow-up action against all the non-conformity report. For each thing corrective action has to be taken to accurately follow the ISO standard and ISO procedure written by them.

The corrected work is shown to the auditors within one or two days or one week. If the corrected action satisfies the ISO standard procedures then they will recommend the organization to go the certification procedure of ISO

NON-CONFORMANCE REPORT

The format of the Non-compliance report has the following point.

- Pre-audit meeting details like location of audit, starting time of the audit, auditors name and auditee details like department with date and time.
- An auditor writes his report of deviations with ISO standards section number and procedure number.
- An auditor signs with date, and asking for the corrective and preventive action to be taken.
- An Audi tee has to write the corrective and preventive action taken by them, and should be shown to auditor. If the corrective action satisfies the rules of ISO auditor will close the NCR.

THIRD PARTY AUDIT:

This is performed by an audit organization, independent of the customer supplier relationship. Independence of audit is a key part of this third party audit. This results in certification, registration, an award, license approval, a citation to the organization from the international standards.

AUDITORS OBSERVATION

- Observation of the auditors are always written in the Nonconformance report
- Short duration is given for the correction work
- Re conducting the external audit for the issue the clearance for ISO certificate

CERTIFICATION OF ISO

Third party audit report should satisfy the International Organization for Standardization, about the present condition of the organization. This provides the license of ISO to the institution. Certification is valid only for three years. It has to be renewed after three years in the same procedure.

CONCLUSIONS

This paper explains how an organization works to get the ISO certification. The following details have been discussed were, definition of audit, types of audit, external quality audit, process of audit, Non-conformance report steps, Third part audit, ISO certification. It helps the users of ISO better about the external audit and non-conformance.

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